

PATENT

Attorney Docket No. 8009-7

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Skiena et al.

Serial No: 09/287,031 Group No: 2747

Filed: April 6, 1999

For: SENTENCE RECONSTRUCTION USING  
WORD AMBIGUITY RESOLUTION

Assistant Commissioner for Patents  
Washington, D.C. 20231

Attention: Refund Section, Accounting Division, Office Of Finance

RECEIPT ACCOUNTING  
DIVISION

May 26 PM 2:39

REQUEST FOR REFUND  
(37 C.F.R. §1.28(a))

I. SUBMISSION OF VERIFIED STATEMENT  
(complete (a) or (b))

- (a) X Attached is a verified statement claiming small entity status in this application.
- (b) \_\_\_\_\_ A verified statement claiming small entity status was filed in this application on \_\_\_\_\_.

CERTIFICATION UNDER 37 C.F.R. §1.8(a)

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Dated: May 24, 1999

Frank Chau

(Type or print name of person mailing paper)

(Signature of person mailing paper)

RefLn. Ref: 07/01/1999 Mail&Fax Date/Number: 092873104 \$30.00 CR  
Date: 5/26/99 Name/Number: 092873104 FC: 704

## II. REFUND REQUEST

This request for refund is made within two months of the date a fee was paid in this application on April 6, 1999 in the amount of \$760.00.

NOTE: The two-month period (§1.28(a)) is not included in the provisions for extension under 37 C.F.R. 1.136 since it is not a period for response. Notice of November 30, 1983, 49 FR 548, January 4, 1984.

| III. FEES CHARGED FOR WHICH REFUND REQUESTED  | AMOUNT OF<br>REFUND REQUESTED |
|---|-------------------------------|
| <input checked="" type="checkbox"/> filing fee  | \$ 380.00                     |
| — surcharge for filing the basic filing fee on a date later than the filing date of the application (37 C.F.R. §1.16(e))    |                               |
| — and/or  |                               |
| — surcharge for filing the oath or declaration on a date later than the filing date of the application (37 C.F.R. §1.16(e)) |                               |
| — extension of term   |                               |
| — first month   |                               |
| — second month  |                               |
| — third month   |                               |
| — fourth month  |                               |
| — excess claims   |                               |
| — issue fee   |                               |
| — petition fee  |                               |
| — patent maintenance fee  |                               |
| — first maintenance fee   |                               |
| — second maintenance fee  |                               |
| — third maintenance fee   |                               |
| — patent maintenance fee surcharge  |                               |
| TOTAL REFUND REQUESTED  | \$ 380.00                     |

NOTE: The refund provisions of §1.28(a) for later submitted small entity statements apply to maintenance fees. Notice of July 30, 1983, 1046 O.G. 28-37.

IV. MANNER OF REFUND

Please make refund by

X crediting Deposit Account No. 50-0679

   refunding payment.

Respectfully requested,

  
Frank Chau  
Reg. No. 34,136

F. CHAU & ASSOCIATES, LLP  
1900 Hempstead Turnpike, Suite 501  
East Meadow, New York 11554  
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Applicant or Patentee: Steven S. Skiena, Harald Rau  
Serial or Patent No.: 09/287,031  
Filed or Issued: April 6, 1999  
For: SENTENCE RECONSTRUCTION USING WORD AMBIGUITY RESOLUTION

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION Research Foundation of State University of New York  
ADDRESS OF ORGANIZATION W5530 Frank Melville, Jr., Memorial Library  
Stony Brook, NY 11794-3368

**TYPE OF ORGANIZATION**

- University or Other Institution of Higher Education
- Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3))
- Nonprofit Scientific or Educational Under Statute of State of the United States of America  
(Name of State \_\_\_\_\_)  
(Citation of Statute \_\_\_\_\_)
- Would Qualify as Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)), if Located in the United States of America
- Would Qualify as Nonprofit Scientific or Educational Under Statute of State of the United States of America if Located in the United States of America  
(Name of State \_\_\_\_\_)  
(Citation of Statute \_\_\_\_\_)

I hereby declare that the nonprofit organization defined above qualifies as a nonprofit organization, as defined in 37 CFR 1.9(e), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, with regard to the invention entitled

SENTENCE RECONSTRUCTION USING WORD AMBIGUITY RESOLUTION

by inventor(s) Steven S. Skiena, Harald Rau

described in

- the specification filed herewith.
- application serial no. 09/287,031, filed April 6, 1999.
- patent no. \_\_\_\_\_, issued \_\_\_\_\_.

I hereby declare that rights under contract or law have been conveyed to, and remain with, the nonprofit organization, with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d), or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

Individual     Small Business Concern     Nonprofit Organization

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

Individual     Small Business Concern     Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING John C. Petersen

TITLE IN ORGANIZATION Director, Technology Transfer

ADDRESS OF PERSON SIGNING W5530 Frank Melville, Jr. Memorial Library, Stony Brook,  
New York 11794-3368

SIGNATURE  Date 4-19-99